

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	MSC-22859-3-CU
First Inventor	Thomas J. Goodwin
Title	Production of Functional Proteins: Balance of Shear Stress and Gravity
Express Mail Label No.	EU657647924US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
- ☐ Applicant claims small entity status.
See 37 CFR 1.27.
- ☒ Specification [Total Pages 35]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 17]
- Oath or Declaration [Total Sheets 2]
 - ☐ Newly executed (original or copy)
 - ☒ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
 - ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☐ Application Data Sheet. See 37 CFR 1.76

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - ☐ Computer Readable Form (CRF)
 - Specification Sequence Listing on:
 - ☐ CD-ROM or CD-R (2 copies); or
 - ☐ Paper
 - ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement [] Power of Attorney (when there is an assignee)
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 [] Copies of IDS Citations
- ☒ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
- ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☒ Other: Letter containing cert. of mailing

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/532,001

Prior application information:

Examiner Karen Lacourciere

Art Unit: 1635

For CONTINUATION OF DIVISIONAL APPS only; The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number: 24957 OR ☒ Correspondence address below

Name	James M. Cate						
Address	NASA Johnson Space Center						
	2101 NASA Road One Mailcode: HA						
City	Houston	State	TX	Zip Code	77058		
Country	USA	Telephone	281-483-1001		Fax	281-244-8452	
Name (Print/Type)	James M. Cate			Registration No. (Attorney/Agent)	25,181		
Signature	<i>James M. Cate</i>			Date	12/11/2003		

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

17510 U.S. PTO
10/734759

121103

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL**for FY 2004**

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT**

(\$ 770.00)

Complete if Known

Application Number

Filing Date

12/11/2003

First Named Inventor

Thomas J. Goodwin

Examiner Name

Art Unit

Attorney Docket No.

MSC-22859-3-CU

METHOD OF PAYMENT (check all that apply)☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit Account Number
Deposit Account Name

14-0116

National Aeronautics and Space

Administration

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	770.00
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$ 770.00)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims	-20** =	X	
Independent Claims	-3** =	X	
Multiple Dependent			

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple dependent claim, if not paid	
1204	86	2204	43	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**SUBMITTED BY**

(Complete (if applicable))

Name (Print/Type)

James M. Cate

Registration No.

25,181

Telephone 281-483-1001

Signature

James M. Cate

Date

12-11-2003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

NASA CASE NO. MSC-22859-3-CU

Patent Application

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	Sean O'Keefe) Group Art
) Unit:
First Named Inventor:	Thomas J. Goodwin)
)
Serial No.:)
)
Filed :	December 11, 2003)
)
For:	Production of Functional Proteins: Balance of)
	Shear Stress and Gravity)
)

Letter

Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

Sir:

The enclosed application is being filed in accordance with Rules 1.10 and 1.53(b) in order to obtain a filing date of December 11, 2003. The application is being sent by Express Mail "Post Office to Addressee" under Certificate EU657647924US.


Respectfully submitted,



James M. Cate, Reg. No. 25,181
Attorney for Applicant

Houston, Texas 77058
Telephone: 281-483-1001 or 281-483-4871
Datafax: 281-244-8452

I hereby certify that the attached application "Production of Functional Proteins: Balance of Shear Stress and Gravity," is being deposited with the United States Postal Service on December 11, 2003, as Express Mail "Post Office to Addressee" under Certificate No. EU657647924US in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.


James M. Cate



National
Aeronautics and
Space
Administration

Patent Application

Request for Filing a Continuation, Divisional or Continuation-in-Part Application Under 37 CFR 1.53(b)

NASA Case No. MSC-22859-3-CU

Class _____ Subclass _____

Prior Application:

Examiner Karen Lacourciere Art Unit 1635

THE COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, DC 20231

Sir:

This is a request for filing a ☒ continuation, ☐ continuation-in-part, or ☐ divisional application under 37 CFR 1.53(b) of prior application:

Serial No.: 09/532,001 Confirmation No.: 7201 Filed: 03/21/2000

Entitled: Production Of Functional Proteins: Balance Of Shear Stress And Gravity

by the following named inventor(s):

FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
	Goodwin	Thomas	J.
RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	Friendswood	Texas	USA
MAILING ADDRESS	STREET NUMBER AND NAME	CITY	STATE AND ZIP CODE/COUNTRY
	P.O. Box 58094	Friendswood	Texas 77258
FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
	Hammond	Timothy	G.
RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	New orleans	Louisiana	USA
MAILING ADDRESS	STREET NUMBER AND NAME	CITY	STATE AND ZIP CODE/COUNTRY
	1418 Bordeaux st.	New Orleans	Louisiana 70115
FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
	Kaysen	James	H.
RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	New Orleans	Louisiana	USA
MAILING ADDRESS	STREET NUMBER AND NAME	CITY	STATE AND ZIP CODE/COUNTRY
	93 Versailles Blvd.	New Orleans	Louisiana 70125

- ☒ 1. Enclosed is a copy of the prior application, including the specifications, claims, drawings and declaration as originally filed.
- ☒ 2. Cancel in this application original claims 1-35 of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing)
- ☒ 3. A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in prior application.)

The filing fee is calculated on the basis of claims existing in the prior application as amended at 2, above.

FOR (1)	CLAIMS NUMBER		RATE (4)	CALCULATIONS (5)
	PAID FOR (2)	EXTRA (3)		
TOTAL CLAIMS 12	20	0	\$18.00	\$0.00
INDEPENDENT CLAIMS 1	3	0	\$86.00	\$0.00
MULTIPLE DEPENDENT CLAIMS (If applicable) -----				=
BASIC FEE -----				+ \$770.00
TOTAL				= \$770.00

- ☒ 4. The Commissioner is hereby authorized to charge any fees which may be required to effect only the filing of this application under CFR 1.16 or credit any overpayment to Deposit Account No. 14-0116
- ☐ 5. A new declaration is included (required for continuation or divisional application adding new inventor, and in continuation-in-part applications).
- ☒ 6. Amend the specification by inserting before the first line the following sentence:
 "This application is a ☐ division, ☐ continuation-in-part, or
☒ continuation of application Serial No. 09/532,001, filed 03/21/2000."
- ☐ 7. New drawings are enclosed.
- ☒ 8. Nonpublication request and certification is enclosed (PTO/SB/35 or equivalent).
- ☒ 9. The prior application is assigned of record to:
United States of America as represented by the Administrator, National Aeronautics & Space Administration
- ☒ 10. The Power of Attorney in the prior application is to:
☒ a. Registered practitioners at Customer No.: 24957
☐ b. Registered practitioners listed below (Name and registration number):

- ☐ 11. A Power of Attorney is enclosed.
- ☒ 12. Also enclosed: Extra copy of this form; Ltr containing the Exp. Mailing Cert. & PTO/SB/05, PTO/SB/17
 Address all future communications to:
☒ a. Customer No.: 24957
☒ b. Correspondence Address listed below (Name, address and telephone number).
James M. Cate, Office of Patent Counsel, Code HA, NASA Road One, Houston, TX 77058-3696 Telephone:
281-483-1001, Fax 281-244-8452

December 11, 2003

(Date)

James M. Cate
 James M. Cate, Reg. No. 25,181

(Signature - Attorney of Record) (Registration Number)